IMI2 Rules and Procedures
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Outline

I. Participation rules
II. Funding rules
III. Intellectual Property rules
IV. From Call to grant award
V. Writing a successful proposal
VI. More information
A single set of rules

EU Financial Regulation
Specific rules for participation

- Covering all H2020 research and innovation actions
- Adaptability where needed:
  - Entities eligible for funding
  - IP
  - etc.
Participation Rules
Attracting stakeholders

• Any entity carrying out work relevant to the IMI2 objectives in a Member State or Associated Country
• Anyone else
  • when foreseen in the annual work plan / Calls documents
  • with the agreement of the IMI JU

BUT
Not all participating entities are eligible for funding
More entities eligible for funding

• Academic institutions
• Research organisations
• Small & medium-sized enterprises (SMEs)
• NEW Mid-sized enterprises (≤ 500M)
• Non-profit patient organisations
• Non-profit public bodies and intergovernmental organisations including specialised agencies

NEW established in a Member State / associated country
Simplified conditions for participation

• **Minimum conditions for standard collaborative actions** *NEW*
  At least three legal entities, each established in a different Member State or an associated country

• **Additional conditions**
  In the annual work plan (and Call documents)
Funding rules
One single funding rate per project

One project = One rate

For all beneficiaries and all activities

Defined in the annual work plan/Call documents:

- Up to 100% of the eligible costs
- but limited to a maximum of 70% for innovation projects (exception for non-profit organisations - maximum of 100%)

Research activities
75% of direct eligible costs

Other activities
100% of direct eligible costs
Considering accounting and management principles

• Personnel
  • Wider acceptance of average personnel costs
  • Acceptance of supplementary payments
    for non-profit organisations of up to 8000 euros / year / person
  • Less requirements for time records

• Equipment, consumables, travels...

• Subcontracting
One single indirect cost model

Single model: 25% Flat Rate
A more attractive funding model

An example

<table>
<thead>
<tr>
<th>Majority of beneficiaries</th>
<th>Direct costs</th>
<th>Indirect costs</th>
<th>Total costs</th>
<th>% EU contribution</th>
<th>EU contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Flat-rate</strong> (20%)</td>
<td>100</td>
<td>20</td>
<td><strong>120</strong></td>
<td>75%</td>
<td>€ 90</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HORIZON 2020</th>
<th>Direct costs</th>
<th>Indirect costs</th>
<th>Total costs</th>
<th>% IMI2 contribution</th>
<th>IMI2 contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>100/25 Funding</strong></td>
<td>100</td>
<td>25</td>
<td><strong>125</strong></td>
<td>100%</td>
<td>€ 125</td>
</tr>
</tbody>
</table>
EFPIA and Associated Partners contribution

- EFPIA companies
- Other industries and partners (= Associated Partners to IMI2) *NEW*

- In-kind (actual direct and indirect costs or average FTE) + cash contributions
- Based on the usual management principles and accounting practices
- Contributions from affiliated entities as part of in-kind

When relevant to IMI2 objectives: up to 30% non-EU in-kind contribution
Intellectual Property Rules
One set of rules for multiple interests

Support to EU industry

- Incentive to participate
- Dissemination of information
- Freedom of Access
- Compensation for IP

Flexibility + Trusted Third Party
Consortium agreement

• Contractual arrangement between all participants to set out their rights and obligations, especially governance, liability and IPR

• Shall comply with the IMI2 model Grant Agreement

• Before the signature of the grant agreement with the IMI Office

• To be adapted to the specific needs of each IMI action!
Background vs. Results

Start of the action

Implementation

End of the action

Background

(NEW additional only if it existed before the action started)

Results

// Sideground //

(generated during the action but outside its objectives and not needed for implementation or Research Use)

--- access rights

Based on IMI1
Results and Sideground belongs to the beneficiary who generated it.

Unless otherwise agreed:
Possible transfer of ownership within the consortium to affiliates and subcontractors without prior notification.
Joint ownership of results

Individual use of jointly owned results
provided prior notice and fair & reasonable compensation to the other joint owners

Based on IMI1
Protection of results

Mandatory for beneficiaries eligible for funding *NEW*

**Common practice (IMI1)**

- lies with the owner(s) in adequate and effective manner -> relevant (national) legal provisions, action peculiarities, legitimate interests
- if valuable results left unprotected -> to be discussed within the consortium
Research Use vs. Exploitation

• **Research Use**
  • Use of results or background necessary to use the results for all purposes other than for completing the action or for direct exploitation

  Based on IMI1

• **Direct exploitation**
  • to develop for commercialisation or to commercialise the results
## Access Rights conditions

<table>
<thead>
<tr>
<th>Access rights granted by a beneficiary to/on</th>
<th>Background (necessary and identified)</th>
<th>Results</th>
<th>Sideground</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beneficiaries for completion of the action</td>
<td>Royalty-free</td>
<td>Royalty-free</td>
<td>N.A.</td>
</tr>
<tr>
<td>Beneficiaries and affiliates for Research Use</td>
<td>Fair &amp; reasonable terms for background needed for using the results</td>
<td>Fair &amp; reasonable terms</td>
<td>N.A.</td>
</tr>
<tr>
<td>Third Parties for Research Use after the action</td>
<td>Fair &amp; reasonable terms for background needed for using the results</td>
<td>Fair &amp; reasonable terms</td>
<td>N.A.</td>
</tr>
<tr>
<td>Beneficiaries and affiliates or Third Parties for Direct Exploitation</td>
<td>To be negotiated</td>
<td>To be negotiated</td>
<td>N.A.</td>
</tr>
</tbody>
</table>

*Based on IMI1*
Access rights to results for third parties

Only after the end of the action

Possibility to exclude specific elements of background \((\text{NEW only for existing background})\)

Based on IMI1

Time-limits to be agreed \(\text{NEW}\)
Granting modalities

**Granted on written request**
unless otherwise agreed

Almost all on-going IMI projects agreed that access rights to background are granted without any additional administrative step

**Time-limits for requesting access**

*NEW*

- Along the most appropriate needs
- To be agreed in the consortium agreement
Each beneficiary has the obligation to disseminate its own results

As soon as reasonably practicable

**NEW** for publications: Open access is mandatory

Mandatory mention to IMI support & EFPIA in-kind contribution in patent applications / all communications
From Call to grant award
IMI2 life cycle

- Call topics definition
  - Scientific Research Agenda
  - Annual Work Plan
  - Strategic Governing Groups
  - Consultation Member-Associated States/Scientific Committee

- Call Launch / Evaluation / Grant award

- Grant agreement, Consortium agreement, Implementation and Reporting
IMI2 life cycle

Step 1: Topic Definition & Launch
- EFPIA
- IMI

Step 2: Proposal Submission
- Academic research teams
- Hospitals
- Regulatory authorities
- Patients' organisations

Step 3: Full Proposal Submission
- Applicant Consortia
- 1st ranked proposal submission + EFPIA

Step 4: Governing Board approval
- IMI
- GB approval of full proposal negotiations start

Step 5: Signatures & project kick-off
- IMI
- The Consortium

Call Launch
1st ranked proposal Selection

SMEs
IMI2 life cycle

- Call topics definition
  - Scientific Research Agenda
  - Annual Work Plan
  - Strategic Governing Groups
  - Consultation Member-Associated States/Scientific Committee

- Call Launch / Evaluation / Grant award

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A single set of evaluation criteria

STANDARD AWARD CRITERIA

- Two stages evaluation: only “Excellence” and “Impact” considered at stage 1
- Thresholds and weighting in the Call documents
- Minimum of 3 independent experts (possibility of 2 in a 2-stages process)

NEW Each proposal evaluated 'as it is', not as 'what could be'
1. Excellence

The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the IMI2 annual work plan:

- Clarity and pertinence of the objectives
- Credibility of the proposed approach
- Soundness of the concept, including trans-disciplinary considerations, where relevant
- Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art
- Mobilisation of the necessary expertise to achieve the objectives of the topic and to ensure engagement of all relevant key stakeholders
2. Impact

The following aspects will be taken into account, to the extent to which the outputs of the project should contribute at the European and/or International level:

- The expected impacts of the proposed approach listed in the IMI2 annual work plan under the relevant topic
- Enhancing innovation capacity and integration of new knowledge
- Strengthening the competitiveness and industrial leadership and/or addressing specific societal challenges
- Improving European citizens' health and wellbeing and contribute to the IMI2 objectives
- Any other environmental and socially important impacts
- Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant
3. Quality and efficiency of the implementation

The following aspects will be taken into account:

• Coherence and effectiveness of the project work plan, including appropriateness of the allocation of tasks and resources

• Complementarity of the participants within the consortium (when relevant)

• Clearly defined contribution to the project plan of the industrial partners (when relevant)

• Appropriateness of the management structures and procedures, including risk and innovation management and sustainability plan
Keeping the momentum

A maximum Time To Grant of 8 months from the submission of the complete proposal

**5 months**
for informing applicants on scientific evaluation

**3 months**
for signature of grant agreement

*NEW* Legal entity validated in parallel
Simplified model Grant Agreement

- Core text
- Special clauses
- General conditions
  - Annex II
- Specific provisions
  - Annexes III
Writing a successful proposal
Common Mistakes

• Admissibility/Eligibility criteria not met:
  – submission deadline missed
  – proposal out of scope (if you have doubts on how to respond to the Call contact us)
  – submitted text does not respect the proposal template (sometimes received even slides!)
  – A minimum of three legal entities
Common Mistakes

• The proposal does not address all the objectives (in some cases proposals have nothing to do with the topic!)

• Applicants do not have the capabilities to address all of the objectives or there is redundancy between partners

• A proposal is scientifically excellent but will have limited impact

• **Ethical issues** not addressed
Tips

• Read all the Call-relevant material that is provided on the IMI website – www.imi.europa.eu
• Understand IMI2 Rules and respect them
• If in doubt, ask a member of the Programme Office
• Your proposal should provide reviewers with all the information requested to allow them to evaluate it
• Start working early (pre-materials available before)
• Finalise your submission
Submitting a proposal

www.imi.europa.eu
Welcome to the Research and Innovation Participant Portal

About the Participant Portal:
The Participant Portal is your entry point for the electronic administration of EU-funded research and innovation projects. It hosts services for managing proposals and projects throughout their lifecycle.

The Participant Portal supports activities funded mainly by the following EU programmes:
- 7th Framework Programme for Research and Technological Development (FP7)
- Competitiveness and Innovation Framework Programme (CIP)

Using the Participant Portal:
As a guest user, browse the public pages to:
- search for funding opportunities
- download guidance and legal documents
- search for the participant identification code (PIC) of an organisation
- contact the FP7 support services and browse the FAQ for guidance on the Participant Portal tools

As a registered user, benefit from personalised services for proposal submission, negotiation, and project management.

WHAT'S NEW
FUNDING OPPORTUNITIES
HOW TO PARTICIPATE?
WORK AS AN EXPERT
ACCESS MY PERSONAL AREA
INFORMATION AND SUPPORT
Partner Search Tool

IMI provides an online partner search tool for people, organisations and enterprises interested in participating in future IMI projects.

The tool facilitates the search for potential partners for an Expression of Interest in response to an IMI Call for proposals.

- The Partner Search Tool is accessible through this link
- Full list of key words has been included for the IMI 2 Call 1 Call for proposals.
- The Partner Search Tool was improved, updated and moved to a new location in June 2012. If you were already registered in the previous version of the tool, your profile is automatically included in the new tool, but you will need to reset your password, by going to 'Login with an existing account' on the login page.
- People who used the partner search tool for IMI's previous Calls for proposals are advised to update their profiles to reflect the new topics that they are interested in.

If you have any difficulties using the partner search tool, contact pst[@]imi.europa.eu

www.imi.europa.eu/content/partner-search
More information
Webinars

- Translational approaches to disease modifying therapy of Type 1 Diabetes Mellitus (T1DM)
  Friday 11 July 2014

- Discovery and validation of novel endpoints in dry age-related macular degeneration and diabetic retinopathy
  Tuesday 15 July 2014

- New procedures, rules, guidance & IPR for Calls for proposals
  14 July & 15 September 2014
Crowne Plaza Hotel, Brussels, Tuesday 30 September 2014

- Workshops and presentations of topics by the topic writers
- Overview of IMI 2 funding and intellectual property (IP) rules
- Tips on applying for funding under IMI 2
- Networking opportunities
- IMI staff on hand to answer questions

We warmly encourages small and medium-sized enterprises, mid-cap businesses, patient organisations, regulatory authorities, academic teams, industry, hospitals and other organisations
Reference documents

- H2020 Rules for Participation
- IMI2 Delegated Regulation
- IMI2 Call Documents
- IMI2 model Grant Agreement
- IMI2 annotated Grant Agreement (soon)

www.imi.europa.eu/content/documents
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• Get in touch with your **local IMI contact point**
  
  www.imi.europa.eu/content/states-representatives-groups

• Talk to your **IMI Health National Contact Point (NCP)**